

RFP-4-43
SECTION ONE
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

The Indiana Department of Administration (IDOA), acting on behalf of the Secretary of State (SOS) and the Indiana Election Division (IED), is seeking proposals to design, configure, develop, implement, and maintain a statewide voter registration system. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

Acceptance	The designated period following completion of the design, installation, and operation of the statewide voter registration system by the selected respondent. During the acceptance period, the State will evaluate all features and performance of services required to be provided under the contract.
Active Voter	According to IC 3-5-2, an “active voter” refers to a voter who satisfies either of the following: (1) The voter has registered or voted in any election during the preceding four years at the address indicated on the voter’s registration record or (2) The voter has not voted in any election during the preceding four years at the address indicated on the voter’s registration record and has responded in writing to an address confirmation notice sent under IC3-7 not later than thirty days after the notice was sent.
ADA	Federal Americans with Disability Act.
ASP	Application Service Provider.
BMV	Indiana Bureau of Motor Vehicles.
Canceled Voter	Voter whose registration has been terminated by a county voter registration office due to death, disqualification, or request of voter. An inactive voter registration may be canceled after required period of time.
DIA	Direct Impact Agency.
CEB	County Election Board
DOC	Indiana Department of Correction.
DOH	Indiana Department of Health.

DoIT	Indiana Division of Information Technology
GIS	Geographic Information System
HAVA	Help America Vote Act of 2002.
IAC	The Indiana Administrative Code.
IED	Indiana Election Division.
IC	The Indiana Code.
Implementation	The successful design, configuration, development, installation, and operation of the statewide voter registration system as specified in the contract resulting from the system requirements provided under this RFP.
Inactive Voter	A voter who has been identified through a method that complies with NVRA as having a registration address that is no longer current for that voter. An inactive voter can be reclassified as an active voter by engaging in voting activity at that address. An inactive voter may be reclassified as a canceled voter.
Installation	The delivery and physical setup of products or services requested in this RFP.
NVRA	National Voter Registration Act.
Political subdivisions	Governing entity at the county, city, town, township, and school district levels.
Products	Tangible goods or manufactured items as specified in this RFP.
Proposal	An offer as defined in IC 5-22-2-17.
Respondent	An offeror as defined in IC 5-22-2-18.
Services	Work to be performed as specified in this RFP.
SOS	Indiana Secretary of State.
State agency	An office of the Executive Branch of the government of the State of Indiana.
Steering Committee	Committee comprised of the SOS, the Co-Directors of IED, members of the Statewide Voter File subgroup of the Vote Indiana team, designated county election officials, and Virchow Krause & Co. LLP.
SVRS	Statewide Voter Registration System. A single, interactive, computerized statewide voter registration list that contains the names and registration

information of every registered voter in the State and assigns a unique identifier to each that complies with P.L. 209-2003, P.L. 116-2003 and HAVA.

Vendor	Any successful respondent selected as a result of the procurement process to deliver the products and services requested by this RFP.
Vote Indiana Team	Committee consisting of 28 individuals appointed to draft the state plan required by HAVA.

1.3 PURPOSE OF THE RFP AND RFP BACKGROUND

1.3.1 Purpose of the RFP

This Request for Proposal (RFP) is requested by the Indiana Secretary of State's Office and the Indiana Election Division in conjunction with the Statewide Voter Registration System (SVRS) Project. The purpose of this RFP is to select a respondent to design, configure, develop, implement, and maintain a statewide voter registration system for the State of Indiana. The goal of the SVRS is to serve the voters of the State and to comply with the Help America Vote Act of 2002 (HAVA) and related sections of Indiana statutes.

This RFP process may not result in a full award for all products and services specified within this RFP. The Secretary of State's Office and the Indiana Election Division reserve all rights to award specific components of this RFP to the chosen respondent while choosing not to award other components of this RFP to the chosen respondent. The Best and Final Offer process will be used to define final decisions relative to various products, services and pricing scenarios IED/SOS will require within the fixed fee cost estimates from the respondents. The Best and Final Offer process will define which costing scenarios the respondent should price in their final offer. Additional information on the overall RFP process, milestones and deadlines can be found in section 1.26 "Milestone Summary".

1.3.2 Background on Indiana Election Administration

The Secretary of State serves as Indiana's chief election officer. The Indiana Election Division (IED) is established within the Office of the Secretary of State. The Governor appoints the IED's two co-directors from lists of two or more persons submitted by the state's Democratic and Republican parties. The IED assists the Secretary of State and the Indiana Election Commission (IEC) with the administration of elections. Indiana's local government includes election administration and voter registration offices in each of the state's 92 counties. Each county is divided into election precincts, with a total of 5,602 precincts in Indiana. All 92 counties have a circuit court clerk elected by the voters and a county election board, which includes the circuit court clerk, to administer local elections. Please see Attachment G – Operational Statistics and Data and Attachment M – Detailed County VR System Survey Results for additional operational statistics.

1.3.3 Background on Indiana Statewide Voter Registration System Development Effort

In 2000, the Bipartisan Task Force on Election Integrity was convened. The Task Force was charged with examining the election process in Indiana to ensure that elections were accurate, accessible and secure. After months of study, this bipartisan group reached consensus on several improvements to the election process; the work of the task force took the form of recommendations to the Indiana General Assembly. Many of these recommendations were adopted, including the establishment of a statewide voter registration system initiative. Unfortunately, the State's initiative to develop a statewide voter registration system was sidelined when appropriations were cut.

With the enactment of the Help America Vote Act of 2002 (HAVA) and the promise of federal funding to implement its requirements, Indiana's statewide voter registration system development effort was revitalized. Secretary of State Todd Rokita convened a "Vote Indiana Team" in February 2003 to move forward with Indiana's election reforms. The Vote Indiana Team consists of 28 Hoosier voters representing a wide variety of ethnic, geographic and tri-partisan political backgrounds. The Vote Indiana Team was charged with developing the Vote Indiana Team HAVA Implementation Plan, which was adopted on July 18, 2003. This plan lays out Indiana's plan for implementing a statewide voter registration system as well as several other election reform efforts. Please note that this plan and information on the Vote Indiana Team can be found at www.sos.IN.gov.

While adopting the Vote Indiana Team HAVA Implementation Plan, the Vote Indiana Team was broken into multiple election reform subgroups, including a Statewide Voter Registration System subgroup. The Statewide Voter Registration System subgroup members currently serve within a Steering Committee to oversee the entire SVRS development effort. To-date, all SVRS Steering Committee meetings have been open to the public. Please note that meeting notes and team information can be found at www.sos.IN.gov.

During October of 2003, SOS/IED contracted the services of Virchow Krause & Co. and its partners, Accelero Consulting Inc. and RCR Technology Corp., to assist the State in developing this RFP as well as overseeing the implementation of the SVRS. Virchow Krause & Co. LLP has also been helping the State implement an SVRS communication effort to solicit input and maintain involvement of Indiana's 92 counties.

1.3.4 Background on the Current State of Voter Registration in Indiana

The State of Indiana does not have a centralized voter registration system to maintain the approximately 4 million registered Indiana voters. These voter registration records are currently maintained by Indiana's 92 counties in some form of an electronic voter registration list. A wide range of functionality exists across the 92 county voter registration applications; and the current county systems do not support county-to-county or county-to-state network connectivity. Please see Attachment G – Operational Data and Statistics and Attachment M – Detailed County VR System Survey Results for a list of each county's current voter registration system.

1.3.5 Background on Overall Business Needs

The SOS/IED in conjunction with IDOA require a statewide voter registration system that will satisfy its business needs, which are defined in Attachments D & E of this proposal. These requirements are the result of federal regulation related to HAVA, Indiana state statutes, and voter registration operating procedures at both county and state levels.

The users of SVRS will be the Indiana Election Division staff and the 92 counties to assist and serve the 4 million registered voters in the State. While satisfying statutory requirements is mandatory, the solution must address and balance the needs of other key stakeholders in the State's election process.

The requested products and services contained in this RFP include:

- A HAVA compliant SVRS software application
- Additional software and tools required to design, configure, develop, implement, and maintain the SVRS solution
- Networking and connectivity of Indiana's 92 county voter registration offices to the statewide system
- Integration solutions with Department of Correction (DOC), Department of Health (DOH), and Bureau of Motor Vehicles (BMV) per HAVA regulations
- Technical hardware, infrastructure and security required to support the SVRS application at both the state and county levels
- Implementation services associated with the planning, design, configuration, development, conversion, testing, training, deployment, acceptance and post implementation maintenance and support for the SVRS software application, networking/connectivity solutions and technical hardware and infrastructure required to support SVRS
- ASP/Outsourcing solutions associated with the technical infrastructure and overall environment operations
- Training and change enablement support associated with the migration from current county systems to the standardized SVRS software application (initial and on-going)
- Staff Augmentation required to successfully implement and maintain the SVRS within Indiana
- Vendor project management support for the products and services defined in the bullet points above.

1.3.6 Background on Data Conversion

The State of Indiana is very interested in pursuing an effective and efficient conversion of its 4 million voter records into one statewide voter registration system. One of the State's main objectives in the SVRS data conversion effort will be to identify duplicate and inactive voters. In the past, SOS/IED has attempted to identify duplicate voters by contracting the services of a vendor to integrate the voter registration lists of the 92 counties and perform duplication matches. While this effort has been very successful in identifying duplicate voter records, SOS/IED still believes that approximately 30% (or 1.2 million) of Indiana's voter records may not have a valid registration at that address.

SOS/IED has attempted to implement a standard voter registration database file format structure in the past by aggregating county files into one Indiana registration file, which is produced each year to reflect voter registration data as of February 1st. This aggregated and standardized file format structure is based on the requirements of the National Voter Registration Act of 1993 (NVRA) and is not considered the totality of conversion fields required from each county for the SVRS conversion. When developing a data conversion strategy, respondents should understand that approximately 71 of 92 counties currently have been able to adhere to the standardized file format structure used for NVRA reporting. A reasonable planning assumption would be that as the number of required conversion fields increase beyond those included in the NVRA standard file, the percentage compliance to standardized file formats will decrease. Please see Attachment I – NVRA File Format Specification for the current file format structure based on NVRA reporting needs. Attachment F (Cost Worksheet) defines several conversion scenarios for respondent pricing. The Best and Final Offer process will define the specific conversion scenario that should be priced by the respondent in their final offer.

1.3.7 Background on Networking and Connectivity

The State of Indiana understands the challenges associated with providing networking and connectivity solutions to the 92 counties. There is currently no statewide network or connectivity that is used for voter registration purposes. The State does have a significant network that provides connectivity to the County Clerk's office although not specific to voter registration officials. In addition, the state network serves the WAN needs of all Direct Impact Agencies. No official agreements are in place as of the writing of this RFP to leverage the existing network, therefore, Indiana expects the proposed solution for SVRS will include networking and connectivity solutions to support each county's connectivity needs to the SVRS application. The networking and connectivity solution must address the overall communication infrastructure required to successfully connect and communicate with the SVRS application. Attachment F (Cost Worksheet) defines several networking scenarios for respondent pricing. The Best and Final Offer process will define the specific networking scenario that should be priced by the respondent in their final offer.

1.3.8 Background on Outsourcing and Hosting Services

Currently, a hosting environment for the hardware and infrastructure required to support the SVRS solution does not exist within SOS/IED. The overall solution framework must be capable of supporting application outsourcing and hosting for technical hardware and infrastructure required to support the SVRS solution. Attachment F (Cost Worksheet) defines several outsourcing and hosting scenarios for respondent pricing. The Best and Final Offer process will define the specific outsourcing and hosting scenario that should be priced by the respondent in their final offer.

1.3.9 Background on Scanning and Imaging

Currently, twenty seven counties have some form of scanning, storage and retrieval functionality supporting voter registration processes. The State of Indiana The State of Indiana understands the importance of scanning, storage and retrieval of key documents associated with the voter registration process. The requirements specify the need for scanning, storage and retrieval of key forms associated with the voter registration process. Several categories of scanning, storage and image retrieval appear within the counties today including:

- Real-Time Retrieval Tied to Voter Record
- Archived Retrieval Tied to Voter Record
- Standalone Scanning, Storage and Imaging Solutions (not tied to voter record)

The costing worksheet (attachment F) will define various scenarios for scanning, storage and imaging allowing the state to assess different solution alternatives including new alternatives not in place within voter registration systems in the counties today. The Best and Final Offer process will define the specific imaging scenario that should be priced by the respondent in their final offer.

1.3.10 Background on Certification Functionality

The State of Indiana requires CEB forms (see Attachment J – CEB Reports for sample CEB forms) from each county reporting the “certified” results after the ballots have been processed. Indiana is interested in having this function automated as part of the voter registration functionality provided by the SVRS solution. In concept, each county would have the ability to complete the CEB forms in an automated fashion to avoid having IED to re-key the CEB results. Requirements have been defined in Attachment E to address these needs.

1.3.11 Background on Training

The State of Indiana will require significant training on the SVRS solution. The costing worksheet (attachment F) will define various scenarios for training allowing the state to assess different training solution alternatives. The Best and Final Offer process will define the specific training scenario that should be priced by the respondent in their final offer.

1.3.12 Background on Direct Impact Agency Integration

HAVA specifies that certain voter registration information be verified against other state agency data. The “direct impact agencies” that must share information with the SVRS application include:

- Bureau of Motor Vehicles – BMV must validate/verify the driver’s license information and the social security information of registrants. In addition, BMV processes roughly 50% of registration applications which must be distributed to each county for processing. Today, the hard copy registration applications are sent to each county. BMV and SOS/IED are hopeful that electronic images of registration applications from BMV can be routed by the SVRS solution to the counties without the need for hard copy application forms to be mailed/routed to each county.
- Department of Health – DOH must provide death information and Social Security information used to cancel the voter registration records of deceased individuals within the SVRS application.
- Department of Correction – DOC must provide information used to cancel the voter registration record within the SVRS application for individuals who are incarcerated after being convicted. In addition, DOC must provide an update to SVRS when the individual is released from prison to allow SVRS to reactivate the voter registration record.

1.3.13 Background on Direct Impact Agency Integration Approaches

The following requirements must be addressed in the respondents approach for direct impact agency integration/verification and are reflected as business and technical requirements within Attachment D and Attachment E:

A) Verification and Automation Approach – Any verification and data sharing between the SVRS application and the direct impact agency systems should not be a completely automated process where records automatically are updated in the SVRS application based on direct impact agency system records. In concept, the team feels most comfortable with some measure of “confidence” being reported to the record in question. For example: based on the name, address, birth date and social security number matching between the SVRS application and the direct impact agency system, we are 95% confident that the record should be updated based on the direct impact agency system. The user would then have the ability to “approve” the change or “cancel” the change. If approved, the change would be applied to the SVRS record and notification would be sent to the voter.

B) Initial Conversion Approach – A conversion file/process must be defined to complete the initial verification of Driver’s License # and Social Security # from

BMV, deceased information and SS# from DOH and incarcerated information from DOC (additional fields from each direct impact agency would be required).

The verification and automation approach (A) defined above should be considered a requirement for the initial conversion approach.

Three options exist for the initial conversion including:

- Option #1 - An extract file from the SVRS application to the direct impact agency system for verification resulting in an import process/file from the verified direct impact agency system.
- Option #2 - An import file from the direct impact agency system for conversion verification and conversion processing within the SVRS application.
- Option #3 - A hybrid option including both option #1 and option #2. BMV has discussed preferring to complete the verification process within the BMV system. Given that approach, we would require an extract from SVRS (option #1) and an import file (option #2) from the DIA system

Initial indications are that the direct impact agencies will pursue the following options:

- BMV – Option 3 (Hybrid)
- DOC – Option 2 (Import from DIA system)
- DOH – Option 2 (Import from DIA system)

C) On-going and On-Demand Integration/Verification Approach – An on-going interface or import/export approach must be defined to complete the verification process on a daily basis once the SVRS solution is operational. In addition, the ability to request an on-demand integration/verification must also be provided. The verification process will focus on verifying driver's license information and SS# from BMV, deceased information and SS# from DOH and incarcerated information from DOC (additional fields from each direct impact agency would be required). This approach concerns the process of achieving system integration and verification after the system is operational.

Three options exist for the on-going and on-demand verification/integration including:

- Option #1 - An extract file from the SVRS application to the direct impact agency system for verification and processing resulting in an import process/file from the verified direct impact agency system.
- Option #2 - An import file from the direct impact agency system for verification and processing within the SVRS application.
- Option #3 - A hybrid option including both option #1 and option #2. BMV has discussed preferring to complete the verification process within the BMV system. Given that approach, we would require an extract from SVRS (option #1) and an import file (option #2) from the DIA system

Initial indications are that the direct impact agencies will pursue the following options:

- BMV – Option 3 (Hybrid)
- DOC – Option 2 (Import from DIA system)

- DOH – Option 2 (Import from DIA system)

1.3.14 Background on Barcoding

The state of Indiana will leverage barcoding functionality in managing specific transactions and processes within the SVRS solution. The costing worksheet (attachment F) will define various scenarios for barcoding functionality allowing the state to assess different solution alternatives. The Best and Final Offer process will define the specific barcoding scenario that should be priced by the respondent in their final offer.

1.3.15 Background on Hardware and Workstations

The state of Indiana will require technical hardware and workstations to support the SVRS solution. The costing worksheet (attachment F) will define various scenarios for workstations allowing the state to assess different solution alternatives. The Best and Final Offer process will define the specific workstation scenario that should be priced by the respondent in their final offer.

1.3.16 Background on GIS Integration

Thirty four counties currently leverage some form of GIS functionality within current state voter registration processes. The respondent SVRS system must be able to integrate with any existing GIS systems currently being used at the county level. In addition, the SVRS solution must be able to integrate with new GIS systems which are added in the future. Attachment D contains questions for the respondents relative to the approach for GIS integration given the approach and extent of GIS integration will continue to be considered a critical component to county personnel. The costing worksheet (attachment F) asks the respondent to itemize the cost for GIS integration.

1.3.17 Background on the State of Indiana SVRS Project Organization

The chart in figure 1.1 and descriptions that follow depict the State of Indiana's project organization for the SVRS implementation project.

**Integrated State, Virchow Krause, and Vendor
SVRS Project Team Organization**

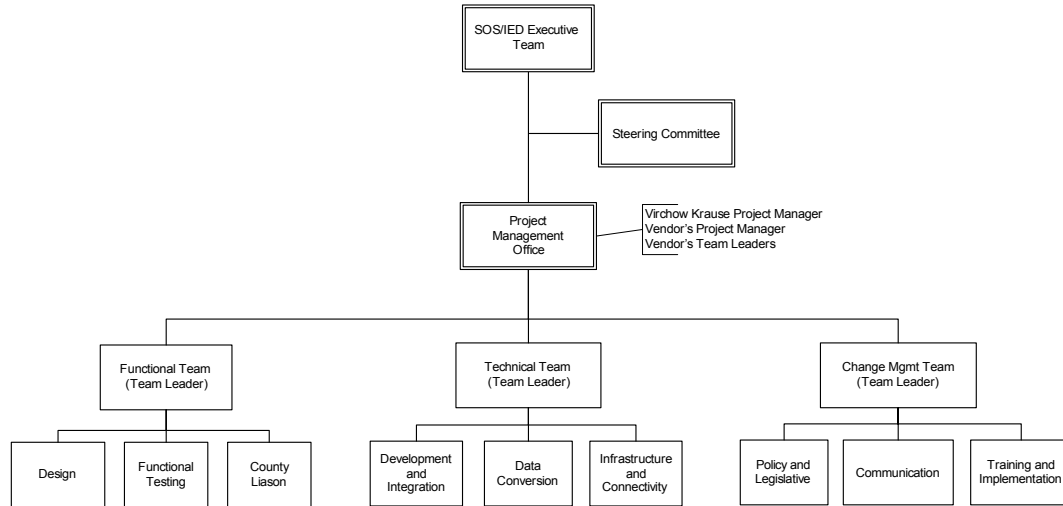


Figure 1.1

SOS/IED Executive Team: Secretary of State Todd Rokita and IED Co-Directors Brad King and Kristi Robertson will serve as the project sponsors supplemented with additional SOS/IED team members.

Steering Committee: The State of Indiana will continue using the Phase 1 Steering Committee during implementation. The Steering Committee will include State and County representatives, a quality assurance executive from Virchow Krause, and a quality assurance executive from the selected respondent. The Steering Committee will be facilitated by the State's (Virchow Krause) Project Manager. The intended role of the Steering Committee will be to help guide the project team through implementation as well as establish statewide standards for the SVRS.

Project Management Office: A project management office comprised of the State (Virchow Krause) Project Manager, the vendor's Project Manager, and the vendor's Team Leaders, which will report to the SOS/IED Executive Team and oversee the project execution and project reporting.

State Project Manager: The State has retained Virchow Krause to provide part-time program management services as the State's internal project and quality assurance manager to perform the following project oversight activities:

- Project Planning
- Milestone Tracking
- Staffing and Resource Management
- Budget Management
- Steering Committee Meetings
- IED/SOS Executive Team Meetings
- Progress Reports
- Scope Management

- Quality Assurance Reviews
- Issue Management and Escalation
- Risk Identification and Management
- Communication Management

Vendor Project Manager: The vendor will provide a project manager to manage the overall activities of the project, supervise the Team Leaders and project staff, and oversee the day to day execution of project tasks, which include:

- Project Planning
- Maintenance and Management of Project Plan
- Management of Staff and Resources to Meet Project Milestones
- Day-to-Day Supervision of Team Leaders and Project Staff
- Staff and Resource Tracking and Performance Monitoring
- Project Team Meetings
- Steering Committee Meetings
- IED/SOS Executive Team Meetings
- Progress Reports
- Scope Management and Change Control
- Quality Review
- Issue Tracking, Resolution, and Escalation
- Risk Identification and Management
- Communication Plan Execution
- Change Management

Team Leaders: The Project Team and Team Leader framework shown above is provided as a guide, indicating primarily that the scope of the SVRS project will require dedicated oversight of the major activities of an implementation: definition of the application's functionality and testing, delivery of technical development and infrastructure, and change management to facilitate the implementation and rollout activities. The respondent's proposed team structure may vary in terms of the team structure and groupings of responsibilities, but the fundamental activities must be addressed within the respondent's plan, and it is assumed that Team Leaders (or a comparable role) should be in place to provide the following:

Task execution management

- Task level management to work plans
- Team meetings and internal team communication
- Team calendars and staff scheduling
- Issue tracking, escalation, and resolution management
- Quality review
- Scope management and change escalation

Project management office coordination

- Maintenance of team project plans
- Team staff management
- Cross-team leader communication
- Team resource and budget tracking
- Team progress reporting

Given the overall framework described above, respondents should indicate clearly in their implementation plan:

1. proposed variations to the above project organization the respondent believes will improve the execution of their project plan,
2. roles and responsibilities and time commitments for the members of each of the teams and committees above including both the respondent's staffing and respondent expectations for state staffing, and
3. meeting frequency, agendas, and meeting duration for the Steering Committee, IED/SOS Executive Team, Project Management Office, and the Project Team(s).

1.4 SCOPE OF THE RFP

This document contains the following information that may be useful to anyone wishing to submit a proposal:

Section One -- A description of many factors affecting the proposal process and procedures.

Section Two -- A description of the required format and subject content of any acceptable proposals offered in response to this document.

Section Three -- A general discussion of the method that will be used by an evaluation team in selecting a respondent to recommend to State officials with whom to enter contract negotiations.

Attachment A -- Minority and Women Business Enterprise Participation Plan

Attachment B -- Sample Contract

Attachment C -- Respondent Notification Request

Attachment D -- General Requirements

Attachment E -- Business and Technical System Requirements

Attachment F -- Cost Worksheet

Attachment G -- Operational Data and Statistics

Attachment H -- Future State Process Model

Attachment I -- NVRA File Format Specifications

Attachment J -- CEB Reports

Attachment K -- 2004 Election Calendar

Attachment L -- State of Indiana Application Security Guidelines

Attachment M -- Detailed County VR System Survey Results

1.5 ISSUING OFFICE

In accordance with Indiana statute, IDOA has issued this RFP on behalf of SOS/IED. The content has been prepared by the staff of SOS/IED and others. This RFP is being posted to the State of Indiana website (<http://www.in.gov/idoa/proc>). One copy of this RFP may be provided free of charge. A nominal fee will be charged for providing additional copies.

1.6 DUE DATE FOR PROPOSALS AND QUESTIONS

All proposals must be received at the address below by the Procurement Division no later than **3 p.m. Eastern Standard Time on February 20, 2004**. Each respondent must submit one original (marked "Original") and **10** complete copies of the proposal, including the transmittal letter and other related documentation as required in this RFP. A complete copy of the proposal must be provided on a 3 ½" diskette and on CD-ROM size 650. No more than one proposal per

respondent should be submitted. Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond that sufficient to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Shelley Harris
Procurement Division
Indiana Department of Administration
402 West Washington Street, W468
Indianapolis, IN 46204

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per respondent should be submitted.

The State of Indiana accepts no obligations for costs incurred by respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

Caution to respondents about shipping/mailling: United States Postal Express and Certified Mail are both delivered to the Central Government Center Mailroom and not directly to the designated department. It is the responsibility of the respondent to make sure that solicitation responses are received by the Procurement Division on or before the designated time and date.

All questions regarding this RFP must be submitted in writing to the above address no later than **3 p.m. Eastern Standard Time on February 2, 2004**. Inquiries may also be submitted via fax (317-234-1281) or email rfp@idoa.state.in.us and must be received by IDOA by the time and date indicated above. Questions submitted after 3 p.m. may not be considered. Following the question due date, IDOA personnel will assemble a list of the compiled questions asked by all respondents. The responses will be posted to the IDOA website approximately one week after the question due date listed in the RFP timetable, Section 1.26. The Question and Answer link will not become active until IDOA has provided responses to all questions. IDOA reserves the right to judge whether any questions should be answered in writing, and copies will be placed on the Procurement page on the State's web site for downloading, distributed to all prospective respondents who are known to have received a copy of the original RFP, or both. Only answers signed by the Director of the Procurement Division or designee or posted on the State's web site will be considered official and valid by the State. No negotiations, decisions, or actions shall be initiated by any respondent as a result of any verbal discussion with any State employee.

Inquiries are not to be directed to any staff member of SOS/IED or Virchow Krause & Co. LLP. Such action may disqualify respondent from further consideration for a contract as a result of this RFP.

1.7 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on **January 30, 2004** in **Conference Room B** at the **Indiana Government Center, 402 West Washington, Street, Indianapolis, Indiana**, from **1:30 p.m. EST to 3:30 p.m. EST**. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State. The State reserves the right to issue an addendum(s) to this RFP in response to discussions and comments from the conference.

1.8 MODIFICATION OR WITHDRAWAL OF OFFERS

Responses to this RFP may be modified or withdrawn in writing or by fax notice received prior to the exact hour and date specified for receipt of proposals. The respondent's authorized representative may also withdraw the proposal in person, providing his or her identity is made known and he or she signs a receipt for the proposal. Proposals may not be withdrawn after the proposal due date and time has passed.

Modification to or withdrawal of a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered. If it becomes necessary to revise any part of this RFP or if additional data is necessary for an exact interpretation of provisions of this RFP prior to the due date for proposals, a supplement will be posted by the Procurement Division to the State of Indiana website. If such addenda issuance is necessary, IDOA reserves the right to extend the due date and time of proposals to accommodate such interpretations or additional data requirements.

1.9 PRICING

IDOA requests the pricing associated with this RFP be a firm proposal price that must remain open and in effect for a period of not less than 180 days from the proposal due date. The pricing submission should be submitted with the written proposal. Price summary worksheets are included in Attachment F. Respondents must provide an analysis of the five-year total cost of ownership that includes each of the elements in Attachment F. Certain respondents, invited for demonstrations, may be asked to update their cost submissions with a best and final offer subsequent to the demonstrations.

The SOS/IED and IDOA recognize there are certain industry practices for service providers. However, the Departments encourage respondents, in their responses to the RFP, to be as creative as possible regarding cost to the State, as cost efficiency for the State will be a consideration in determining whether a contract(s) will be awarded based on responses to the RFP and the selection of a service provider.

1.10 RESPONDENT DISCUSSION and DEMONSTRATION FORMAT

The State reserves the right to conduct respondent demonstrations and discussions with those respondents determined by the State to be reasonably viable to being selected for award. The State has the option to require demonstrations for up to 4 respondents. Subsequent to the respondent demonstration, the State may request best and final offers. IDOA Procurement will schedule all respondent demonstrations and discussions. SOS/IED will provide respondents with demonstration scripts prior to any demonstration. SOS/IED will videotape all respondent demonstrations.

The request for best and final offers may include:

- Notice that discussions are concluded.

- Notice that this is the opportunity to submit written best and final offers.
- Notice of the date and time for submission of the best and final offer.
- Notice that if any modification is submitted, it must be received by the date and time specified or it will not be considered.
- Notice of any changes in the State's requirements.

The State reserves the right to reject any or all proposals received or to award, without discussions or clarifications, a contract on the basis of initial proposals received. Therefore, each proposal should contain the respondent's best terms from a price and technical standpoint. The State reserves the right to reopen discussions after receipt of best and final offers if it is clearly in the State's best interest to do so and the Director of the Procurement Division or designee makes a written determination of that fact. If discussions are reopened, the State may issue an additional request for best and final offers from all respondents determined by the State to be reasonably susceptible to being selected for award.

Following evaluation of the best and final offers, the State may select for negotiations the offers that are most advantageous to the State, considering price or cost and the evaluation factors in the RFP.

The State also reserves the right to conduct clarifications to resolve minor issues. If only clarifications are sought, best and final offers may not be requested. The State retains sole authority to determine whether contact with respondents is for clarification or discussion.

1.11 CONTRACT NEGOTIATIONS

After recommendation of a selected respondent by appropriate officials of the State, contract negotiations will commence. The contract will be based primarily on the required clauses of the State as indicated in the State contract as appears in Attachment B of this document; secondly, on those required clauses by the respondent that are acceptable to the State; and, additionally, on any desirable clauses that either party would like to incorporate into the contract. If at any time contract negotiation activities are judged to be ineffective by the Commissioner of IDOA or designee, IDOA will cease all activities with that respondent and begin contract negotiations with the next highest ranked respondent. This process may continue until either both the respondent and the State of Indiana execute a completed contract or IDOA determines that no acceptable alternative proposal exists.

1.12 REFERENCE SITE VISITS

The State may request a site visit to a respondent's working support center to aid in the evaluation of the respondent's proposal.

1.13 TYPE AND TERM OF CONTRACT

The State of Indiana intends to sign a contract with one or more respondent(s) to provide the complete set of products and services listed in this RFP. The State will not entertain joint bids.

The term of this contract shall be for a period of five years, beginning June 1, 2004 (or from date of final State approval of contract), and ending May 31, 2009. There may be renewals for a total of two more years at the State's option.

1.14 CONTRACT OBLIGATIONS

Attachment B of this document is the form of the expected contract resulting from this RFP. Note that this RFP process may not result in a contract for all products and services specified within this RFP. The Secretary of State's Office and the Indiana Election Division reserve all rights to award specific components of this RFP to the chosen respondent while electing not to award other components of this RFP to the chosen respondent. Although the State anticipates that any respondent submitting a proposal will provide the major portion of the products and services as requested, subcontracting by the respondent is acceptable in performing the requirements of this RFP. However, the respondent must obtain the approval of IDOA before subcontracting any portion of the project's requirements. The respondent is responsible for the performance of any obligations that may result from this RFP and shall not be relieved by the non-performance of any subcontractor. Any respondent's proposal must identify all subcontractors and outline the contractual relationship between the respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal. This RFP is subject to the Minority Business Development Program. The requirements are explained elsewhere in the RFP.

Any subcontracts entered into by the respondent must be in compliance with all State of Indiana statutes and be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the respondent and any or all subcontractors will be considered in the State's evaluation. The respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the respondent must be made available upon request for inspection and examination by appropriate State officials and such relationships must meet with the approval of the State.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Indiana Public Records Act, IC 5-14-3 *et seq.*, and, after the contract award, may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the Indiana Public Records Act must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the transmittal letter and on the outside of that envelope that confidential materials are included. The respondent must also specify which statutory exception provision applies. The State reserves the right to make determinations of confidentiality. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to the Indiana Public Records Act, it may either reject the proposal or discuss its interpretation of the allowable exceptions with the respondent. If agreement can be reached, the proposal will be considered. If agreement cannot be reached, the State will remove the proposal from consideration for award and return the proposal to the respondent. The State will not determine prices to be confidential information.

1.16 STATE OF INDIANA OBLIGATIONS

The State of Indiana accepts no obligations for costs incurred by respondents in anticipation of being awarded a contract.

The State of Indiana creates no obligation, expressed or implied, by issuing this RFP or by receipt of any responses submitted pursuant hereto. The award of any contract(s) as a result of this RFP shall be at the sole discretion of the Secretary of State's Office, the Indiana Election Division and IDOA. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.17 CONTRACT COMPONENTS

Any or all portions of this RFP and normally any or all portions of the respondent's response will be incorporated by reference as part of the final contract. Proprietary or confidential material submitted properly (see Section 1.15) will not be disclosed.

1.18 PROPOSAL LIFE

All proposals made in response to this RFP must remain open and in effect for a period of not less than 180 days after the due date for proposals. Any proposal accepted by the State for the purpose of contract negotiations shall remain valid until superseded by a contract or until rejected by the State.

1.19 TAXES

The State of Indiana is exempt from federal, state, and local taxes. The State will not be responsible for any taxes levied on the respondent as a result of the contract resulting from this RFP.

1.20 SECRETARY OF STATE REGISTRATION

In accordance with IC 5-22-16-4, before an out-of-state respondent can do business with the State, the respondent must be registered with the Indiana Secretary of State. If an out-of-state respondent does not have such registration at present, the respondent should contact

Secretary of State of Indiana
Corporation Division
302 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576

for the necessary application form. It is each respondent's responsibility to register prior to the initiation of any contract discussions.

1.21 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5-5-3, the Director of the Procurement Division of IDOA has determined that there is a reasonable expectation of minority and woman

business enterprise participation in this contract. Therefore a contract goal of 1 % minority business enterprise participation and 1 % woman business enterprise participation has been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5-5-3.

Compliance with these regulations will be taken into consideration during the evaluation phase of the RFP process.

1.22 MINORITY BUSINESS ENTERPRISE PARTICIPATION PLAN

In accordance with 25 IAC 5 1-8, The respondent must submit within the proposal a Minority and Women's Business Enterprise participation plan or make an application for waiver from the contract goal. Failure to provide the minority and women's business participation plan or to make an application for waiver of the participation goal at the time of proposal submission may result in the disqualification and rejection of the proposal. Please note that IDOA reserves the right to verify all information included on minority and women's business enterprise participation plans and applications for waiver from the contract goal before making final determinations of the respondent's responsiveness.

Additionally, the plan must show that there are racial minority owned enterprises and women owned enterprises participating in the contract. The participation can be, but is not limited to, a subcontractor or second tier participation with common suppliers such as office supplies, courier services and/or janitorial services. The respondent submitting an offer must indicate the name of the racial and women owned firms that will participate in the award, a contact name and phone number, the service to be supplied and the specific dollar amount from this contract that will be directed toward each firm.

A respondent can and must submit an application for a waiver if minority and women participation cannot be achieved. However, the respondent is expected to demonstrate a good faith effort to meet the participation goal of 1% for minority participation and 1% for women owned business participation. A good faith effort consists of documenting the effort that was made to achieve the goal. The same information supplied on the plan must be supplied on a waiver. (See above paragraph) Respondents are encouraged to contact and work with the Minority Business and Women's Enterprise Division of the Indiana Department of Administration to design a plan to meet established goals. The Minority Business and Women's Enterprise Division's website address is as follows: www.in.gov/idoa/minority.

By submission of the proposal, the respondent thereby acknowledges and agrees to be bound by the regulatory processes involving the State of Indiana's Minority and Women's Business Enterprise Program. Questions involving the regulations governing the minority and women's business enterprise participation plan and the application for waiver from the contract goal should be directed to:

Minority Business and Women's Enterprise Division
Indiana Department of Administration
402 W. Washington St., Room W469
Indianapolis, IN 46204
(317) 233-6607

1.23 U.S. MANUFACTURED

Each proposal must contain an explanation of what steps will be used to encourage the use of American-made products. The State does apply a U.S. Manufactured preference as set out in IC 5-22-15-21.

1.24 RECYCLED PRODUCTS

Each proposal should contain an explanation of what recycled materials are used and identify the recyclability of products offered in response to this RFP.

1.25 AMERICANS WITH DISABILITIES ACT

The respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.26 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered verbatim. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process all respondents will be informed of the evaluation team's findings, according to the choice of notification they selected in Attachment C.

<u>ACTIVITY</u>	<u>COMPLETION DATE</u>
Respondent pre-bid conference	01/30/04
Respondent inquiry period ends	02/02/04
Final State responses to inquiries	02/06/04
Proposal submission date	02/20/04
Choose short-list of respondents for demonstrations	02/27/04
Notice of respondent demonstrations	02/27/04
Respondent demonstrations	03/22/04 - 03/31/04
On-site visits of respondent solutions (If applicable)	04/05/04 - 4/16/04
Notice of respondent discussions* (If applicable)	04/05/04
Respondent discussions*	04/06/04 - 04/16/04
Request for best and final offers (BAFO)*	04/23/04
Receipt of best and final offers*	04/30/04
Proposal evaluation completed*	05/05/04
Recommendation to IDOA*	05/07/04
Notify selected respondent*	05/14/04
Contract negotiations begin*	05/14/04
Contract negotiations end*	05/17/04
Negotiated contract readied*	05/18/04
Contract signed by respondent*	05/19/04
State review begins*	05/20/04
State review ends*	05/31/04
Receipt of State approval*	06/01/04

** These dates are subject to the determination of the need for discussions. If discussions are not required, the process could reach a completion date at least four weeks earlier than the listed date for contract signature.*

1.27 PROPOSAL AND PERFORMANCE BOND (25 IAC 1.1-1-5)

A proposal bond in the amount of \$100,000 is required to guarantee the financial stability of the company and to guarantee that the respondent is willing to sign a contract with the State. The original proposal bond must be included with the original proposal; photocopies of the bond are to be included in the copies of the proposal. Proposal bonds will be returned after the contract has been fully executed with the selected respondent or if it is necessary to cancel the procurement. Proposal bonds must be submitted in the form of a cashier's check, certified check, or surety bond. If the surety bond is executed, the surety company must be authorized to do business in the State of Indiana as approved by the Indiana Department of Insurance. This surety must be made payable to "Indiana Department of Administration" and may be cashed by the State if the selected respondent fails to enter into a contract with the State if selected by the State to do so. The proposal bond should be submitted to the following address:

Shelley Harris
Procurement Division
Indiana Department of Administration
402 West Washington Street, W468
Indianapolis, IN 46204

A respondent shall forfeit the proposal bond if the respondent is selected and fails to sign a contract within 14 days from receipt of a final contract document or the respondent is selected and cannot obtain the operational performance bond (if required) within 10 days of contract signing.

Either of the above time frames may be extended by IDOA.

A performance bond in the amount of \$1,000,000 will be required to guarantee the performance of the selected respondent after the contract is signed. The performance bond, which is due within 10 calendar days after the execution of the contract, must be made payable to "Indiana Department of Administration" and must be in the form of a certified check, cashier's check, or a bond acquired from a surety company registered with the Indiana Department of Insurance. The bond must remain in effect for the duration of the contract. Notwithstanding any other provisions relating to the beginning of the term, the contract shall not become effective until the Performance bond required by the contract is delivered in the correct form and amount to IDOA. The performance bond should be submitted to the following address:

Shelley Harris
Procurement Division
Indiana Department of Administration
402 West Washington Street, W468
Indianapolis, IN 46204

Respondents wishing the return of a proposal or performance bond should attach a self-addressed envelope. The requested document will be returned as soon as possible after the award (proposal

bond) or upon successful completion of the contract (performance bond). Bonds not claimed may be destroyed upon successful completion of the contract.

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is documented in this section. All respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the respondent's proposal or the proposal may be rejected.
- The transmittal letter should be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.
- The State may, at its option, allow all respondents a five-calendar-day period to correct errors or omissions to their proposals. Should this necessity arise, the State will contact each respondent affected. Each respondent must submit written corrections to the proposal within five calendar days of notification. The intent of this option is to allow proposals with only minor errors or omissions to be corrected. Major errors or omissions, such as the failure to include prices, will not be considered by the State as a minor error or omission and may result in disqualification of the proposal from further evaluation.

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Summary of Ability and Desire to Supply the Required Products and Services

The transmittal letter must briefly summarize the respondent's ability to supply the requested products and services that meet the application requirements defined in Section Three of this RFP. The letter must also contain a statement indicating the respondent's willingness to provide the requested products and services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses and submission of a proposal bond of \$100,000 and a performance bond of \$1,000,000.

2.2.2 Signature of Authorized Representative

A person authorized to commit the respondent to its representations must sign the transmittal letter. Such person's authority to so act must be consistent with the information contained in Section 2.2.1 of this RFP. **In the transmittal letter please indicate the principal contact for the proposal along with an address, telephone, and fax number.**

2.2.3 Respondent Notification Request

Attachment C provides respondents an opportunity to indicate the preferred method to which notification of the vendor selection made for this solicitation. Unless otherwise indicated, respondents will be notified via U.S. mail with the assumption of delivery within 3 business days. If there is no preference in this regard, Attachment C does not need to be submitted with the respondent's proposal and notification will be made by U.S. mail.

It is the respondent's obligation to notify the Procurement Division of any changes in address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.4 Other Information

This item is optional. Any other information the respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General

This optional section of the business proposal may be used to introduce or summarize any information the respondent deems relevant or important to the State's successful acquisition of the products and services requested in this RFP.

2.3.2 Respondent Company Structure

The legal form of the respondent's business organization, the state in which incorporated (if a corporation), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section should include the respondent's financial statement, such as an income statement or balance sheet, for each of the two most recently completed fiscal years. The financial statements should demonstrate the respondent's financial stability. If the organization includes more than one product division, separate financial statements must be provided for the division responsible for the development and marketing of the requested products and services.

2.3.4 Facilities and Resources

The respondent should include information with regard to the organization's resources that it deems advantageous to the successful provision of the requested products and services. This might include management capabilities and experience, technical resources, and operational resources not directly assigned to this project, but available if needed.

2.3.5 Required Contract Clauses

Indiana law requires the inclusion of certain language in all contracts. Also, the nature of the products and services requested in this RFP may present a need for the inclusion of certain commitments in any contract resulting from this RFP. Attachment B of this document contains a sample contract that could be similar to the one resulting from this RFP. Some clauses within the sample contract are mandatory and other clauses are desirable to the State. NOTE: Those clauses that are mandatory are as follows:

- Duties of contractor, rate of pay, and term of contract
- Conflict of Interest
- Drug-free workplace provision and certification
- Funding Cancellation
- Non-collusion and Acceptance
- Non-discrimination clause

Respondents should review these clauses in detail because a specific agreement to these clauses is required in the Transmittal Letter. If a respondent wishes to suggest alternative wording for one or more of these mandatory clauses without changing the intent, these suggestions may, at the respondent's option, be documented in this section of the Business Proposal. The respondent's suggested language will be considered by the State during the contract negotiation process. The State's willingness to consider alternative language does not change the requirement that the respondent agree in the Transmittal Letter to the acceptance of the State mandatory clauses as written.

Attachment B also includes a number of desirable clauses that the State seeks to include in any contract resulting from this RFP but which it does not consider mandatory. For each of these desirable clauses, the respondent should either indicate that the desired clause is acceptable as worded; suggest specific alternative wording to address issues raised by the specific clause; or indicate the desired clause is unacceptable and state why. Any language required by a respondent that is unacceptable to the State may lead to the rejection of that respondent's proposal.

2.3.6 Pricing and Charges

The State requests the pricing associated with this RFP be a firm proposal price that must remain open and in effect for a period of not less than 180 days from the proposal due date as well as any extensions agreed to in the course of contract negotiations.

The pricing submission should be submitted with the written proposal. Price summary worksheets are included in Attachment F. Respondents must provide an analysis of the five-year total cost of ownership that includes each of the elements in Attachment F. Certain respondents, invited for demonstrations, may be asked to update their cost submissions with a best and final offer subsequent to the demonstrations.

2.3.7 References

The respondent should include a list of at least three clients for whom the respondent has provided products and services that are the same or similar to those products and services requested in this RFP. Any state government for whom the respondent has provided these products and services should be included; also to be included should be clients with locations near Indianapolis, as site visits may be arranged. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information. The more similar the referenced products and services are to those requested in this RFP, the greater weight will be attached to the references in the State's evaluation process.

2.3.8 Registration to do Business

Respondents proposing to provide the products and services required by this RFP are required to be registered to do business within the state by the Indiana Secretary of State. The address contact information for this office may be found in Section 1.20 of this RFP. This process must be concluded prior to contract negotiations with the State. It is the successful respondent's responsibility to complete the required registration with the Secretary of State. The respondent must indicate the status of registration, if applicable, in this section of the proposal.

2.3.9 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.10 Subcontractors

The respondent must list any subcontractors name, address and state of incorporation that are proposed to be used in providing the required products and services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The respondent must indicate which, if any, subcontractors qualify as a Minority Business under IC 4-13-16.5-1. See Section 1.22 and Attachment A for Minority and Women's Business information.

2.3.11 Respondent Contract Requirements

This section is optional. If the respondent wishes to include any language other than that discussed in the Business Proposal, this language should be included in this section. For each clause included in this section, the respondent should indicate that the clause is required by the respondent in any contract resulting

from this RFP and why it is required (if the required clause is unacceptable to the State, the respondent's proposal may be considered unacceptable) or indicate that the clause is desired (but not required) by the respondent in any contract resulting from this RFP.

2.3.12 Bonds

This section will indicate the respondent's inclusion of the mandatory proposal bond and ability to procure the mandatory performance bond. See Section 1.27 for details regarding proposal and performance bonds.

Notwithstanding any other provisions relating to the beginning of the term, any contract will not become effective until the performance bond, if required by the contract, is delivered in the correct form and amount to the address indicated in Section 1.27.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

- 2.4.1 **Executive Summary:** Respondent proposals shall include an executive summary explaining why the respondent's solution is the best solution for the state of Indiana. The summary should focus on providing an overview of the respondent's credentials in statewide voter registration systems. In addition, the summary shall summarize the critical success factors, key challenges and high-level strategies required to overcome obstacles during this initiative.
- 2.4.2 **General Requirements – Attachment D:** Included in Attachment D are questions describing the general capabilities of the respondent, and other issues related to the software and support that are considered necessary to support the Statewide Voter Registration System. The respondent must answer each of the questions in Attachment D.
- 2.4.3 **Business & Technical System Requirements – Attachment E:** Business and technical requirements are defined, in large part, by HAVA and State statute. They are also defined by the operating requirements of the staff of the IED. Lastly, they are defined in response to the needs of the IED's customers; namely, counties and voters. While satisfying statutory requirements is mandatory, the solution must address and balance the needs of other key stakeholders in the State's election process. Included in Attachment E are questions describing the business and technical requirements of SVRS. One of the following four priorities have been assigned to each of the questions by SOS/IED:

1. Mandatory (system must offer functionality for statutory requirements and other key operational features)
2. Necessary (functionality is important for operations but workarounds may be considered)
3. Desired (provides benefit for operations but workarounds are acceptable)
4. Optional/Future (not currently needed or used in our current operations but would be nice to have in the future)

Note that business requirements that are either statutorily defined or deemed as a key operational feature have the highest priority. Additionally, priorities were assigned to each requirement disregarding any expected costs associated with the requirement. SOS/IED may perform cost-benefit analysis on certain requirements with high costs associated with them and reserves the right to change the priority assigned to these requirements.

The respondent must answer each of the requirements detailed in the Business & Technical System Requirements document. For each requirement, complete the Vendor Response Column (and the comment column if necessary) in the following manner:

- Y. Current version of software provides full functionality required.
- C. Current version provides functionality but system customization/implementation activities required. For example, report writers, user defined fields, etc. will need to be configured/customized.
- M. Current version provides partial functionality. System modification is required.
- D. Current version does not provide functionality required. Custom development is required.

Note that seven additional attachments have been included in this RFP to assist the respondent in assessing the State's needs and responding to this proposal.

- **Attachment G -- Operational Data and Statistics**
- **Attachment H -- Future State Process Model**
- **Attachment I -- NVRA File Format Specifications**
- **Attachment J -- CEB Reports**
- **Attachment K -- 2004 Election Calendar**
- **Attachment L -- State of Indiana Application Security Guidelines**
- **Attachment M -- Detailed County VR System Survey Results**

- 2.4.4 **Cost Worksheets - Attachment F:** Respondent proposals shall include completed cost worksheets, which are included in Attachment F. Respondents must provide an analysis of the five-year total cost of ownership and five year state and county staffing assumptions. In a submission where one respondent acts as the lead for one or more additional respondents, the cost estimates should include the combined costs from all respondents. The pricing included in Attachment F must be inclusive of all travel costs.
- 2.4.5 **Work Plans:** Respondent proposals shall include detailed work plans for each Phase of the project, including system design, modification, installation, implementation, technical training, user training, and warranty (acceptance) of the proposed software, showing all significant tasks required for successful completion of the Phase objectives. Work plans shall be in sufficient detail for the State to adequately evaluate the planned approach to implementing SVRS.

- 2.4.6 **Timeline:** Respondent proposals shall include a high-level timeline indicating the milestone dates for major phases within the proposed workplan.
- 2.4.7 **Deliverables:** Respondent proposals shall include an inventory of deliverables and deliverable descriptions associated with the workplan defined in 2.4.5.
- 2.4.8 **Recommended Project Organizational Structure:** Respondent proposals shall include a recommended team organizational structure if different than Section 1.3.12. In addition, SOS/IED expects the respondent to state the number of personnel and the estimated hours for both State and respondent staffing.
- 2.4.9 **Project Management Methodology:** Respondent proposals shall include a detailed explanation of their project management methodology, tools, and templates.
- 2.4.10 **Project Team Member Resumes:** Submission of team member names and resumes associated with the respondent's proposed organizational structure (2.4.8) is also required. In submitting a proposal, respondents acknowledge SOS/IED's right of review and refusal of all personnel working on the statewide voter registration project. SOS/IED also retains the unequivocal right to insist on replacing any project team member at any time in the project.
- 2.5 **MINORITY BUSINESS ENTERPRISES PARTICIPATION PLAN**
A properly completed and signed MWBE Participation Plan or Waiver (Attachment A) must be included as part of the proposal. Respondents must indicate the name of the racial minority and woman owned firm(s) with which it will work; the contact name and phone number at the firm(s); the service supplied by the firm(s); and the specific dollar amount from this contract that will be directed toward each firm. If the above mentioned goals (1.21) can not be achieved by directing proceeds from this contract toward racial minority and woman owned enterprises, the respondent may demonstrate that an amount, equal to each of the above goals, of the firms overall annual proceeds (from all business) are directed to racial minority and/or woman owned enterprises. Please note: Respondents' claims for participation will be validated prior to contract award.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State of Indiana has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for form on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements will normally be eliminated from consideration. Respondents should note that agreement to the State's mandatory contract clauses is required in the Transmittal Letter and will be evaluated for such under the form category.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point/percentage score will be established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight could be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and SOS/IED for further action, such as contract negotiations. If, however, IDOA and SOS/IED decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the respondent, IDOA may begin contract preparation with the next qualified respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The percentage of the total point score associated with each category is indicated following the category name. Note that the following evaluation criteria will be used to evaluate initial responses as well as best and final offers from selected respondents.

- 3.2.1 Financial Stability (pass/fail)
Submission of valid proof of financial stability will result in the respondent receiving a "pass" in this category.
 - The criteria for passing will be the respondent's ability to supply the outlined performance and proposal bond requirements.
- 3.2.2 Experience (14%)
Respondents will be evaluated on the following criteria:
 - Completion of Section 2.3.7 References
 - Respondent's overall experience with providing products and services of a similar nature to those requested in this RFP
 - Feedback and input received by the Respondent's references
 - Respondents demonstrated knowledge of Indiana elections and voter registration

- 3.2.3 Completeness of the Proposed Solution (19%)
Respondents will be evaluated on the following criteria:
- Assessment of solution completeness against the defined requirements in Attachment E.
 - Assessment of answers to questions in Attachment D relative to meeting service and technology requirements to successfully design, configure, develop, implement, and maintain a statewide voter registration system.
 - Assessment of the material submitted to determine if the respondent's response contains all of the required information, in the appropriate format, as specified in this RFP.
 - Assessment of demonstration, if offered to respondent
- 3.2.4 Proposed Workplan (10%)
Respondents will be evaluated on the following criteria:
- Demonstrated ability to meet the specifications outlined in the RFP
 - Demonstrated understanding of the State's implementation timeline
 - Proposed milestone dates
 - Demonstrated understanding of proposed deliverables and workplans
 - Demonstrated understanding of the State's election calendar
 - Demonstrated understanding and identification of workplan risks and assumptions
- 3.2.5 Proposed Organizational Structure (10%)
Respondents will be evaluated on the following criteria:
- Ability to provide successful SVRS solution with limited State resources from SOS/IED
 - Ability to meet the resource requirements associated with providing a successful SVRS solution for the State of Indiana
 - Quality of proposed organizational structure including the number and experience of resources proposed
 - Demonstrated understanding and proposed clarity on the roles and responsibilities required from the State and the chosen respondent
- 3.2.6 Proposed Change Enablement Approach (10%)
Respondents will be evaluated on the following criteria:
- Demonstrated understanding of Indiana's change management issues and approaches to address these issues
 - Proposed approach and tools for training on the new SVRS solution
- 3.2.7 Proposed Data Conversion Strategy (10%)
Respondents will be evaluated on the following criteria:
- Demonstrated understanding of data conversion issues and approaches to address these issues
 - Proposed tools associated with the data conversion process
- 3.2.8 Project Management Approach (10%)
Respondents will be evaluated on the following criteria:

- Demonstrated understanding of best practice project management methodologies
- Proposed deliverables and workplans

3.2.10 Total Cost of the Project (14%)

Respondents will be evaluated on their response to the cost worksheets provided in Attachment F.

3.2.11 Minority Business Participation Plan (3%)

See Section 2.5 “Minority Business and Women’s Enterprises Participation Plan”.

All proposals will be reviewed by members of SOS/IED and IDOA. References may be contacted. It is possible that finalists will be interviewed by persons participating in the selection process. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.